



## **LBNL S&E Career-Track Positions Mid-Term Review Process**

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At least 120 days prior to the end of the third year, the Division Staff Committee (DSC) must have completed a review of the work of the career-track scientist/engineer and provide the Division Director the mid-term review. The Division Director must provide the employee with a written statement of the prospects for promotion to a career appointment.

The items marked by an asterisk (\*) are mandatory in order to satisfy the mid-term review requirements referred to in the RPM, Section 2.07, Professional Research Staff.

Allowable exceptions for not completing or postponing a mid-term review (Only requires Division Director approval):

- A Division may initiate a mid-term review earlier in the career-track employee's term appointment than the timeline included here. These guidelines are generally written for a 5-year career-track period and can be adjusted if earlier promotion is contemplated.
- A Division may skip a mid-term review to initiate a promotional review.
- If a career-track employee is on a one month or greater approved paid or unpaid leave of absence, their appointment may be extended by the length of the leave up to an additional one year beyond the five year maximum. The mid-term review timeline may be adjusted accordingly.

All listed supporting material may be found on the RPM web site, on the HR web site and from your [Division's HR Center](#).

A mid-term review is required for the following career-track positions:

- Research Scientist/Engineer
- Staff Scientist/Engineer
- Divisional Fellow

### **1. PREPARING MID-TERM REVIEW DOCUMENTATION**

**HR Center – No later than 6 months (180 days) prior to the end of the employee's third year**

1. Notify supervisor, Division management, and Division Staff Committee (DSC) Chair of upcoming mid-term review.

**(\*) Supervisor – 5 months (150 days) prior to the end of the employee's third year**

1. Update employee's position description.
2. Acquire from employee updated curriculum vitae (CV), current publications list, and description of research at LBNL in which the employee is also asked to provide a self-assessment in the following areas:



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- Progress related to research goals and objectives
  - Areas of strength/accomplishments
  - Areas needing further work and development
  - Need for further training, mentoring, or support from the supervisor &/or Division
3. Recommendation to solicit letters of recommendation.
- It is strongly recommended to solicit 2-3 recommendation letters for the Staff Scientist/Engineer and Division Fellow appointees from key referees (internal or external) to the Lab as part of the mid-term review.
4. Write employee evaluation. Include the following:
- Employee's research focus
  - Employee's research goal(s)
  - Areas of strength/accomplishments
  - Areas needing further work and development
  - Recommendations for further training, mentoring, or support from Division
  - Overall statement of employee's prospects for promotion (i.e., "good," "fair" or "poor").
5. Prepare the mid-term evaluation. The case must include the following in this order:
- Supervisor's evaluation
  - Employee description of LBNL research including areas of self-assessment
  - Candidate's current curriculum vitae (CV) and publications list
  - Current position description
6. Forward case for review to appropriate Division management (depending on Division review process).
7. Forward case to DSC.

The annual performance review may not be used in place of the mid-term review, nor vice versa. The annual performance review provides a 12-month perspective, whereas the mid-term review considers accomplishments over a 2 ½ year period. There may be some overlap of accomplishments, but the two reviews have different purposes.

### **Available Supporting Materials:**

- Position Description Form
- Supervisor Mid-Term Evaluation Summary
- Email or Memo Requesting Employee Description of LBNL Research Template



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### **2. Division Staff Committee (DSC) Review**

**(\*) Division Staff Committee – must complete its review and submit its report to the Division Director no later than 4.5 months (135 days) prior to the end of the employee’s third year**

1. Evaluate employee’s mid-term review documentation.
  - Review accomplishments and research progress
  - Evaluate areas of strength and areas needing further work & development
  - Evaluate supervisor’s recommendations for further training, mentoring, or support from division and provide additional feedback and/or recommendations
  - Determine if employee’s prospects for promotion are “good,” “fair” or “poor”

#### **Division Staff Committee Chair**

1. Prepare DSC assessment summary (DSC Chair Memo template)
2. Forward case to Division Director

#### **Available Supporting Materials:**

- DSC Chair Memo Template

### **3. Division Director Review**

#### **(\*) Division Director (or Designee)**

1. Evaluate employee’s mid-term review documentation.
  - Review accomplishments and research progress
  - Evaluate areas of strength and areas needing further work & development
  - Evaluate supervisor’s recommendations for further training, mentoring, or support from division
  - Evaluate supervisor’s evaluation
  - Evaluate DSC’s assessment
2. Write mid-term review summary including statement of prospects for promotion (cc: supervisor, DSC Chair, and HR Center). If prospects for promotion are “poor,” talk with supervisor and HR Center on next steps.

**(\*) Division Director (or Designee) and supervisor – No later than 120 days (4 months) prior to the end of the employee’s third year**

1. Meet with employee. Provide written review summary on employee’s areas for further development and prospects for promotion.



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**NOTE:** The annual performance review may not be used in place of the Division Director's summary of the mid-term review, nor vice versa. The annual performance review provides a 12-month perspective, whereas the summary of the mid-term review considers accomplishments over a 2 ½ year period. There may be some overlap of accomplishments, but the two reviews have different purposes.

### **4. Recordkeeping**

HR Center to maintain a signed copy of the mid-term review.